



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

TAKASHIMA, Yoshiki, et al.

Divisional Appln. No.: based on 09/527,522

Group Art Unit: 1652 (parent)

Confirmation No.: Unassigned

Examiner: E. Slobodyansky (parent)

Filed: February 7, 2002

For: PROTEIN CAPABLE OF CATALYZING TRANSAMINATION STEREOSELECTIVELY,  
GENE ENCODING SAID PROTEIN AND USE THEREOF

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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.97 and 1.98

SEP 30 2003

Commissioner for Patents  
Washington, D.C. 20231

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Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO-1449 form which are all the references of record in parent application No. 09/527,522. Applicant is not submitting duplicate copies of these references but requests that they be listed on the face of any patent granted on the above application. (See 37 CFR §1.98(d)). Copies of any cited copending applications, if not previously submitted, are being submitted herewith.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,

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Substitute for form 1449 A &amp; B/PTO

Complete if Known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	Divisional of 09/527,522
Confirmation Number	Unassigned
Filing Date	February 7, 2002
First Named Inventor	TAKASHIMA, Yoshiki
Art Unit	1652 (parent)
Examiner Name	E. Slobodyansky
Attorney Docket Number	Q68127

1 of 1

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US 5965432	10-12-99		Kobayashi
		US			
		US			
		US			
		US			
		US			
		US			
		US			
		US			

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## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
		JP	61-187786A				
		EP	0857790A1				
		EP	0987332A1				
		WO	9848030A				
		WO	0026351A				
		WO	9946398A				
		EP	0404146A				

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		Database WPI Section Ch, Week 198013, Derwent Publications Ltd., London, GB: Class E14, An 1980-22950C XP002142724 & JP 55022630A (Mitsui Toatsu Chem. Inc.), Abstract	
		Database WPI Section Ch, Week 198604, Derwent Publications Ltd., London, GB: Class E14, An 1986-025607 XP002142725 & JP 60248647A (Yamakawa Yakuhin KK), December 9, 1985), Abstract	
		Shin Jong-Shik et al., "asymmetric synthesis of chiral amines with omega-transaminase." Biotechnology and Bioengineering., Vol. 65, no. 2, October 20, 1999, pgs. 206-211 XP00214278 ISSN: 0006-3592 728	

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.



REQUEST OF EARLY NOTIFICATION OF SERIAL NUMBER  
Divisional of USAN 09/527,522

Inventor(s): TAKASHIMA, Yoshiki, MITSUDA, Satoshi, and WIESER,  
Marco

Title: PROTEIN CAPABLE OF CATALYZING TRANSAMINATION  
STEREOSELECTIVELY, GENE ENCODING SAID PROTEIN AND  
USE THEREOF

Atty Doc. #: Q68127 Client: SUMITOMO CHEMICAL CO., LTD.

Filing Date: February 7, 2002 # Pgs. Spec/Abst: 97/1 #Claims: 18

# Dwg. Sheets: no Decl no Prelim Amdt yes

IDS/Prior Art: yes Pr Doc: no Asgmt: no Fee: \$ 1046

☒ 2 Checks Attached ☐ Charge to Deposit # 19-4880  
Atty/Sec: GK/CJK/rg

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